

Regional Process

Last Updated: 27 MAR 2013

EXWC-S-18.3.6.1 EXWC Contracting Officer Representative Contract Administration

Regional Process Owner: NAVFAC EXWC Acquisitions Director (EXWC ACQ Director)

Introduction:

The Contracting Officer Representative (COR) BMS describes the functions required in the administration of a contract. CORs provide technical direction with respect to the work statement, manage and request contract modification, monitor performance of the work of a contract, and certify invoice submittals for payment. CORs have pecuniary liability for payments resulting from improper invoice certifications. CORs work with the Contractor and Contracting Office to remedy deficiencies. CORs are responsible for maintaining records documenting contract history, deliverables, and information exchanges.

General References:

[Navy Marine Corps Acquisition Regulation Supplement \(NMCARS\)](#)

[NAVFAC Acquisition Supplement \(NFAS\)](#)

[Defense Contingency COR Handbook](#)

Process Step	Associated Procedure	Resources
S-18.3.6.1.1 Process Contracting Officer Representative (COR) Letter of Delegation	Business Line Supervisor/Director: <ul style="list-style-type: none">Prior to award, prepare COR nomination memo and ensure training certifications (COR training and Ethics) are current.Identify with the nomination memo the assessing official used in the CPARS/ACASS/CCASS.Review Contract Officer Representative Tracking (CORT) tool for training certificates. If COR nominee is not in CORT, require them to register.<ul style="list-style-type: none">Initial Training: Defense Acquisition University training course CTC342 must be completed. Completion of CTC342 is required; however, if CTC342 is unavailable, CLC222 or CLC106 (on line courses) are interim training and only valid for one year (see COR Handbook, Appendix F).Refresher Training: Department of Defense (DoD) Standard for Certification of Contracting Officer's Representative (COR) for Service Acquisitions memo	COR Nomination Letter Template (BMS S-18.3.6) CORT Training Training Requirements (Defense Contingency COR handbook Appendix F) Memo DoD Standard Certification of Contracting Officer (COR) COR Revocation Letter Template (BMS S-18.3.6) Appointment/Termination Record – Authorized Signature (DD577) (BMS S-18.3.6) COR Responsibilities

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	<p>dated March 29, 2010, requires refresher training every 3 years.</p> <ul style="list-style-type: none"> Send COR nomination memo and certificates with Electronic Contract Request (ECR) (see BMS S-18.3.6) to Acquisition (ACQ). Send COR Revocation memo as the need arises (see BMS S-18.3.6) to ACQ. <p>Contract Specialist (CS):</p> <ul style="list-style-type: none"> Generate COR Appointment Letter on letterhead. Forward to Contracting Officer (KO) for review and approval. <p>Contract Officer Representative (COR):</p> <ul style="list-style-type: none"> Sign COR Appointment Letter and complete blocks 16 and 17 of the Appointment/Termination Record for Authorized Signature (form DD577) included with appointment letter. Return signed memo and DD577 to ACQ. File copy of letter and DD577 in COR file. Review COR responsibilities as outlined in COR letter and also in the COR Responsibilities Flowchart. 	<p>Flowchart</p>
S-18.3.6.1.2 Register COR in Acquisition Systems (when necessary)	<p>Contract administration requires utilization of Wide Area Work Flow (WAWF) System for invoice processing, CORT for central DoD COR management, and CPARS/ACASS/CCASS for past performance reporting. CPARS/ACASS/CCASS is a common location for past performance reporting and covers three contract types. It does not cover supply or research contracts:</p> <ul style="list-style-type: none"> ACASS – Architectural and Engineering Services CCASS – Construction Services 	<p>Wide Area Work Flow (WAWF)</p> <p>Contract Performance Appraisal Review System (CPARS)</p> <p>Certifying Official Legislation (COL) Training</p> <p>SAAR form</p>

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	<ul style="list-style-type: none"> CPARS - All other Services <p>CS:</p> <ul style="list-style-type: none"> If required, develop and submit initial Contract/Task Order with Points of Contact (POC) for the CPARS/ACASS/CCASS system. Verify the correct points of contact as noted in the nomination letter for the assessing official. Forward to EXWC ACQ Systems Administrator. <p>ACQ Systems Administrator:</p> <ul style="list-style-type: none"> Validate COR is registered in WAWF, or activate WAWF account for new users Input shell and POCs into CPARS/ACASS/CCASS systems. <p>COR:</p> <ul style="list-style-type: none"> When appointed as a COR, ensure your accounts are activated. If not registered in WAWF, self-register for the inspector role at a minimum. Register for additional view-only roles by issuing office. Older contracts require registration for the previous DoDDACs. New contracts register for DoDDAC N39430. Complete WAWF training (on-line) If not registered in CORT, self register and upload your COR-related training certificates and COR-related continuous learning certificates. The CS will update the CORT system with delegated contract authority for specific contracts. To authorize invoices, complete Certifying Official Legislation (COL) training. Complete SAAR forms and forward to Supervisor for approval to access: <ul style="list-style-type: none"> <u>WAWF</u> <u>CPARS/ACASS/CCASS</u> 	

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	Supervisor: <ul style="list-style-type: none"> Review and endorse SAAR and route to Security and CIO for approvals. 	
S-18.3.6.1.3 Document Communications and Meetings with Contractor	KO: <ul style="list-style-type: none"> Schedule Post Award meeting. Designate a Chairperson responsible for developing meeting agenda and minutes using the Post Award Conference Template. COR: <ul style="list-style-type: none"> Document discussions with the contractor on the Communication Record Template and maintain in the COR file. Any direction given to the contractor should be documented and filed. 	Post Award Conference Template Communication Record Template
S-18.3.6.1.4 Manage Contractor Access	COR: <ul style="list-style-type: none"> Manage Contractor site specific requirements (e.g., base access, safety, security, fire, etc.) including as applicable, access to other DoD locations, non-federal facilities, and others. The contractor is required to complete the Employment Eligibility Verification (I-9) form. Security and OPS can provide assistance (see BMS F-19.7). Base access often involves management of Personally Identifiable Information (PII). Ensure this information is handled appropriately. If the contract requires travel to an installation without commercial services, ACQ may need to assist with letters of introduction to allow contractors to utilize government flights/lodging. (example: San Clemente; Guantanamo Bay; Diego Garcia) 	Employment Eligibility Verification (I-9) Form BMS F-19.7 NAVFAC EXWC OPS Project Coordination

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S-18.3.6.1.5 Prepare/Review Project Planning Documents	COR: <ul style="list-style-type: none"> Update or create the Administration Plan for the contract vehicle assigned. The Plan is a guide to actions and milestones to efficiently manage the Contract. <ul style="list-style-type: none"> Contract Administration Plan: Use the Contract Administration Plan template when managing a basic award, such as a C-type or D-type contract. Task Order Administration Plan: Use the abbreviated Task Order Administration Plan template when assigned as the COR for a specific task order. Each Task Order will have its own file. Review the Quality Assurance Surveillance Plan (QASP) of the Contract/Task Order to become familiar with rating criteria used in contractor performance evaluations. The QASP is contract-unique and is also a basis for CPARS/ACASS/CCASS input. Communicate with the KO and CS when developing your planning documents and as issues arise during the contract/task order life. 	Contract Administration Plan template Task Order Administration Plan template Checklist for Contents of a COR Working File COR Contract Record Index
S-18.3.6.1.6 Monitor/Review/ Accept Deliverables	COR: <ul style="list-style-type: none"> Track period of performance and communicate with the CS if changes are necessary Ensure that deliverables are received and reviewed for acceptable quality, within the timeframe specified in the contract. If there are multiple government reviewers, the COR should coordinate a consolidated response to the contractor. Act as liaison between contractor and installation. Responsibilities may 	NAVFACINST7320.3C Management of Property Instruction DoD Guide to Marking Classified Documents Value Engineering Change Proposals (VECP) Submittal

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	<p>include access resolution, performance metrics, and other issues that may affect contract performance.</p> <ul style="list-style-type: none"> Regularly assess contractor execution per the contract statement of work and QASP, including on-site inspections. Document findings in the COR file. Work with the CS to respond to contractor Requests for Information (RFI) or deficiencies. Track any government furnished property (see EXWC Personal Property Instruction). Review documentation markings for proper handling (e.g., proprietary, classified, sensitive, etc.). Review in-progress cost control. Manage Value Engineering Change Proposals (VECP) submissions. Coordinate with the Project Manager (PM). <p>CS:</p> <ul style="list-style-type: none"> Receive and forward RFIs to COR for review and action. Provide guidance on contractual requirements and recommendations as needed. 	
S-18.3.6.1.7 Reject Work	<p>Rejection of work is distinct from administrative invoice rejections. Rejecting work or deliverables generally requires re-work that is not administrative in nature, and often results in additional time and possibly funds.</p> <p>COR:</p> <ul style="list-style-type: none"> COR notifies CS to issue a rejection notice for work quality. Formal steps may be required if there is concern on overall performance. (see BMS S-17.4.4.8) 	BMS S-17.4.4.8 Unilateral Stop Work Order/Suspension of Work

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	<ul style="list-style-type: none"> Inform FM if payments should be withheld until performance is corrected. Review contractor work resubmittal and review for acceptable quality. <p>CS:</p> <ul style="list-style-type: none"> Issue Rejection Notice (e.g., letter of concern, cure notice, show cause). Pursue more formal corrective actions as necessary. 	
S-18.3.6.1.8 Prepare Contract / Task Order Modifications	<p>The COR monitors daily performance, and is often the first Government employee who is aware that contract changes are necessary.</p> <p>COR:</p> <ul style="list-style-type: none"> Assist the Contract Specialist with in scope determinations. Initiate modifications, change orders, task orders, and exercise of option years through ACQ. <ul style="list-style-type: none"> Submit ECR for each and submit supporting documents (PWS/SOW, QASP, IGCE, funding document, and other applicable documents.) Verify ECR accepted and CS is assigned within 3 days of ECR submittal. Notification should be provided via a system generated email. If email not received, contact ACQ. Track option year expiration dates and notify CS at least 3 months prior to action, by preparing Client Memo Requesting Exercise Of Option Year and submit to CS via eProjects. <p>CS:</p> <ul style="list-style-type: none"> Request quote or proposal from Contractor to support modification. Provide technical proposal to COR for evaluation. 	<p>Electronic Contract Request</p> <p>Client Memo Requesting Exercise of Option</p> <p>IGCE development guidance (Defense Contingency COR Handbook)</p> <p>Quality Assurance Surveillance Plan</p>

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	<ul style="list-style-type: none"> Provide cost proposal to COR for evaluation after technical evaluation is complete. <p>COR:</p> <ul style="list-style-type: none"> Conduct timely evaluation of technical and cost proposals and respond to CS. When modification is complete, keep the modification and supporting documentation in the COR file. 	
S-18.3.6.1.9 Track Funding and Submit Requests for Funding Documents	<p>COR:</p> <ul style="list-style-type: none"> On basic contract, monitor contract ceiling levels and notify PM as needed. On a task order, monitor funding applied and expended on the task order through invoicing. Prepare request for funding document and forward to department Program Analyst (PA) (see Outgoing Funding BMS). Track Contract/Task Order funding to ensure adequate funds are available to pay for outstanding obligations on the Invoice Log Template. Verify that CS received funding document. Funding document may be attached to the ECR. <p>PA:</p> <ul style="list-style-type: none"> Review and update Funding Document Request and forward to FM. 	<p>FM Outgoing Funding Process Flow</p> <p>Invoice Log Template</p>
S-18.3.6.1.10 Review Invoices and Cost Vouchers	<p>Since 2007, invoices are paid through WAWF. Some older contracts are manually paid through OnePay. This section documents the COR responsibilities that are related to WAWF. The WAWF Invoicing BMS S-17.4.14.2 documents the process and roles for submitting a WAWF invoice.</p> <p>NMCARS prohibits the same person from performing the role of Inspector and the</p>	<p>Wide Area Work Flow (WAWF)</p> <p>BMS S-17.4.14.2 WAWF Invoicing</p> <p>FM Invoice Process Flow</p>

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	<p>role of Reviewer in order to maintain separation of functions. This measure helps prevent fraud, waste, and abuse.</p> <p>COR:</p> <ul style="list-style-type: none"> • Maintain an Invoice Log for each task order or contract assigned. Do not accept invoices that exceed available funds. • Compare invoice to contract requirements and QASP. Approve and process invoices for payment as identified in EXWC Invoicing BMS. • If Navy Working Capital Funds (NWCF) is used, notify department PA to initiate transfer of funds through FM. • For Firm Fixed Price contracts that are making scheduled or incremental payments, match the work billed against the work completed in the supporting progress reports • In Cost type contracts, review cost vouchers and supporting documentation. Notify CS that the voucher is recommended for payment or rejection. • Reject invoices where costs are not reasonable, to include excessive travel, over-staffing, or unknown materials. The original accepted proposal is a basis for anticipated costs. • Proactively work with the contractor to establish technical approach that is cost effective and efficient. • Contact CS if you have questions on costs being fair/reasonable/allocable. • Cost type contracts require the contractor to notify the CS when 75 percent expended, and to provide an estimated time to complete. Work with PM and CS when costs are predicted to exceed awarded value. 	
S-18.3.6.1.11 Complete Contractor Performance	<p>COR:</p> <ul style="list-style-type: none"> • Complete Contract Performance 	

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Evaluation	<p>Assessment Reviews at least annually and always at contract close in the applicable system.</p> <ul style="list-style-type: none"> Prior to the period of performance end date (end of contract or end of option period), initiate contractor evaluation in CPARS/ACASS/CCASS (as applicable). Interim evaluations may be submitted at milestone completions, or as required by the system. A final evaluation should only be submitted when all work is complete. Evaluations route from Assessing Official/COR, to the Contractor, back to Assessing Official, and are then finalized by ACQ. If a Negative or Outstanding Evaluation is anticipated, contact the CS for guidance PRIOR to entering in the system. Both require substantiating documentation. Contractor has 30 days to respond to an evaluation once signed by the assessing official. Assessing official then reviews contractor comments and adds clarifying comments if necessary. Review contractor comments and add clarifying comments, if applicable. <p>Assessing Official:</p> <ul style="list-style-type: none"> Write evaluation or if Assessing Official Representative (AOR) is assigned, review the evaluation and concur or add additional comments. Send evaluation to the contractor. 	
S-18.3.6.1.12 COR Audit	<p>Annually, ACQ audits COR files.</p> <p>COR:</p> <ul style="list-style-type: none"> Perform self-audit of COR file annually using the COR File Audit Checklist. 	COR File Audit Checklist

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S-18.3.6.1.12 Contract/Task Order Close Out	<p>COR:</p> <ul style="list-style-type: none"> • Verify all deliverables in the contract have been received/accepted. • Document Final Acceptance of Deliverables. • Complete Substantial Completion/ Agency approvals if required (MILCON/Construction). • If end items are received, ensure they are entered in the proper property management system (see EXWC Personal Property Instruction). In rare cases, MAXIMO/Real Property reporting and DD 1354 (Transfer and Acceptance of DoD Real Property) are required. • Ensure CS has issued relevant warranty letters, with correct warranty period dates • Confirm receipt of final invoice with CS and advise CS that contract/order is ready to be closed. • Provide COR file to CS, for regulatory archive. • Request that CS deobligate any excess funds. <p>CS:</p> <ul style="list-style-type: none"> • Notify FM to recoup unused funds. 	<p>NAVFACINST7203.3C Management of Property Instruction</p> <p>Transfer and Acceptance of DoD Real Property (DD 1354)</p>

Acronyms and Definitions:

Acronyms	Definitions
ACASS	Architect-Engineer Contract Administration Support System
BMS	Business Management System
CCASS	Construction Contractor Appraisal Support System
COL	Certifying Official Legislation training
COR	Contracting Officer Representative
CORT	Contract Officer Representative Tracking
CPARS	Contract Performance Appraisal Review System

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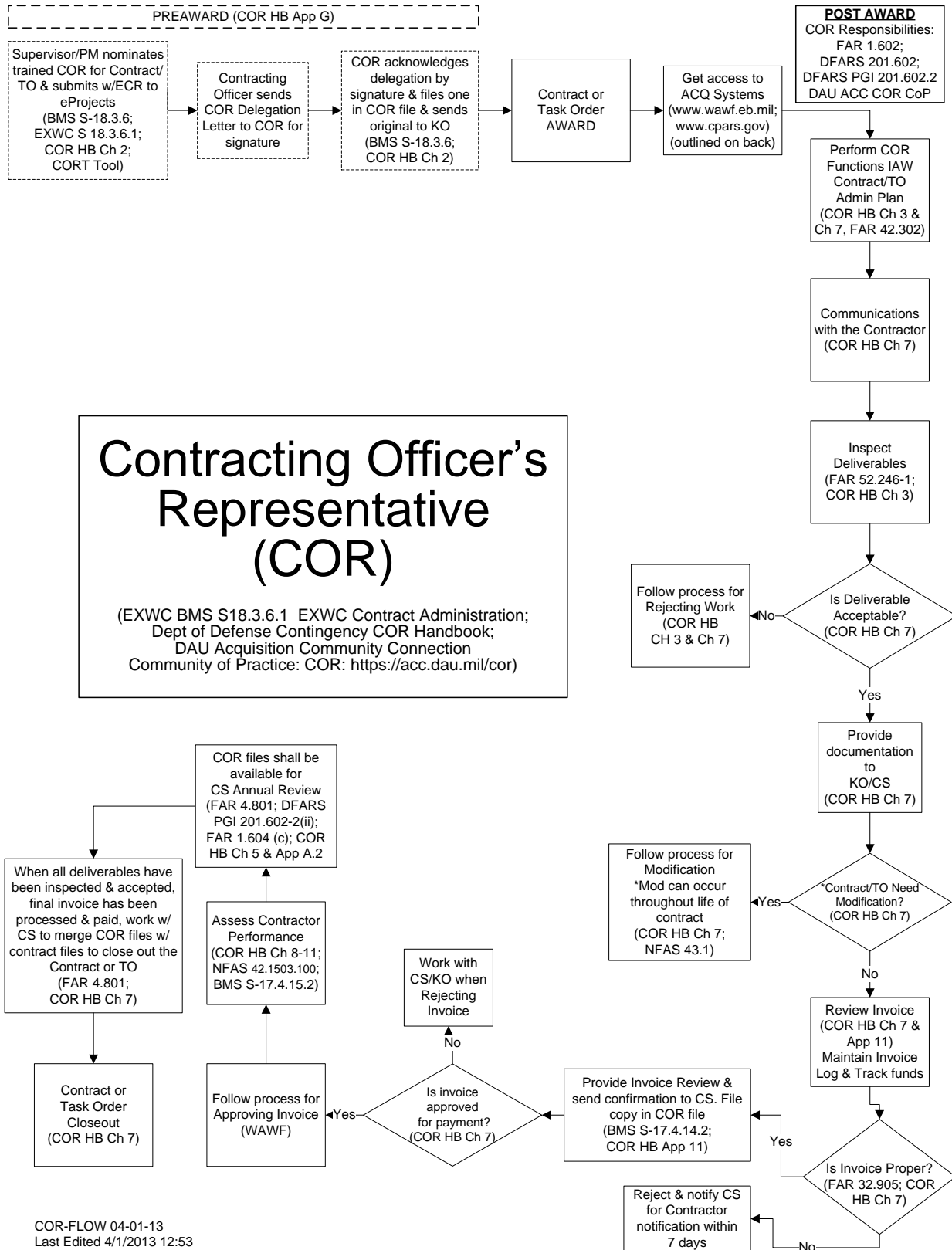
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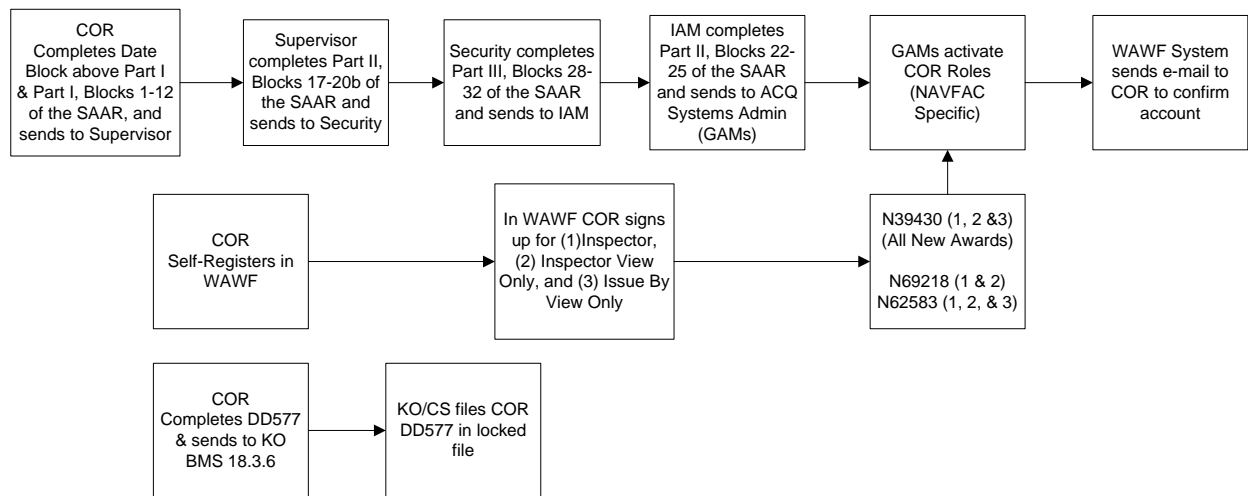
Acronyms	Definitions
CS	Contract Specialist
PM	Project Manager
DoD	Department of Defense
DoDDACs	Department of Defense Activity Address Code
ECR	Electronic Contract Request
EXWC	NAVFAC Engineering and Expeditionary Warfare Center
FM	Financial Management
I-9	Employment Eligibility Verification form
IGCE	Independent Government Cost Estimate
KO	Contracting Officer
MAXIMO	Enterprise MAXIMO
MILCON	Military Construction
NMCARS	Navy Marine Corps Acquisition Regulation Supplement
NWCF	Navy Working Capital Fund
PA	Program Analyst
PII	Personally Identifiable Information
PWS	Performance Work Statement
QASP	Quality Assurance Surveillance Plan
RFI	Requests for Information
SAAR	System Authorization Access Request
SOW	Statement of Work
TO	Task Order
VCEP	Value Engineering Change Proposals
WAWF	Wide Area Work Flow System

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COR Responsibilities Flow Chart



EXWC ACQ: COR Access to WAWF



EXWC ACQ: COR – Contractor Performance Evaluation Systems

Reporting Thresholds

CPARS – Services & IT $\geq \$1M$
 ACASS – A/E $\geq \$30K$
 CCASS – Construction $\geq \$650K$
 (BMS 17.4.15.2)

